

Notice of Allowability

Application No.

09/711,124

Examiner

Thomas A. Beach

Applicant(s)

RAMASWAMI ET AL.

Art Unit

3671

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 05/05/06.
2. ☒ The allowed claim(s) is/are 80-84.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
- (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
- 1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
- (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☐ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date 4/17/2001
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),
Paper No./Mail Date _____.
7. ☐ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

THOMAS A. BEACH
PRIMARY EXAMINER

Reasons for Allowance

1. The following is an examiner's statement of reasons for allowance: the prior art of record fails to show a computerized method comprising the steps of electronically receiving and storing data regarding performance over a selected consecutive number of quarters of all securities in a selected group of securities; dividing the group of securities into subgroups based on net price performance over the time period, so that a first subgroup comprises securities with net price performance over the time period greater than or equal to securities in all other subgroups of the group, and a second subgroup comprises securities with net price performance over the time period less than or equal to securities in all other subgroups of the group; and applying a volume turnover filter to the first subgroup and the second subgroup, wherein the volume turnover filter is operable to calculate an inter-quarter change in average turnover for each consecutive pair of quarters in the selected consecutive number of quarters for each security in the first and second subgroups, and further operable to sum, for each security in the first and second subgroups, the inter-quarter changes.

Li 6,832,210 discloses the method of electronically receiving and storing data with computerized method comprising the steps of electronically receiving and storing data regarding performance over a selected consecutive number of quarters of all securities in a selected group of securities; dividing the group of securities into subgroups based on net price performance over the time period, so that a first subgroup comprises securities with net price performance over the time period greater than or equal to securities in all other subgroups of the group, and a second subgroup comprises securities with net price performance over the time period less than or equal

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to securities in all other subgroups of the group; but fails to show applying a volume turnover filter to the first subgroup and the second subgroup, wherein the volume turnover filter is operable to calculate an inter-quarter change in average turnover for each consecutive pair of quarters in the selected consecutive number of quarters for each security in the first and second subgroups, and further operable to sum, for each security in the first and second subgroups, the inter-quarter changes.

NPL document Lee et al (Price Momentum and Trading Volume, dated August 29, 1999) fails to show applying a volume turnover filter to the first subgroup and the second subgroup, wherein the volume turnover filter is operable to calculate an inter-quarter change in average turnover for each consecutive pair of quarters in the selected consecutive number of quarters for each security in the first and second subgroups, and further operable to sum, for each security in the first and second subgroups, the inter-quarter changes.

.Foreign reference WO 02/039211 A2 fails to show applying a volume turnover filter to the first subgroup and the second subgroup, wherein the volume turnover filter is operable to calculate an inter-quarter change in average turnover for each consecutive pair of quarters in the selected consecutive number of quarters for each security in the first and second subgroups, and further operable to sum, for each security in the first and second subgroups, the inter-quarter changes.

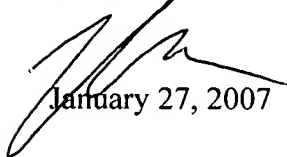
Conclusion

2. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thomas A. Beach whose telephone number is 571.272.6988. The examiner can normally be reached on Monday-Friday, 8:00am-5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Thomas Will can be reached on 571.272.6998. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Thomas A. Beach



January 27, 2007



F. RYAN ZEENDER
SUPERVISORY PATENT EXAMINER

THOMAS A. BEACH
Patent Examiner
Group 3600